

### **5.3 UHCL PROMOTION AND TENURE**

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#### 1.0 Policy Overview

Tenure at the University of Houston-Clear Lake is defined as the right to continuous employment. Tenure is awarded by the Chancellor of the University of Houston System, in the normal course of promotion and tenure review, upon recommendation of the President, under the authority delegated by the Board of Regents and upon the basis of recommendations initiated by departments and reviewed within the colleges by the Peer Review Committee, the Academic Associate, the Dean, and by the Provost. Tenure is awarded on the basis of teaching, research, and service excellence to date. The promotion and tenure policy provides procedures and criteria that relate to renewal or non-renewal of appointments, tenure, and promotion.

#### 2.1 Definitions

#### 2.2 Appointment

Appointment is defined as the employment of an individual in a given capacity for a specified time period at a stated salary. Faculty appointments are made following procedures developed at the university and which have been approved by the Chancellor. Appointment letters must be approved by Academic Affairs (AA) and Human Resources (HR), and must follow standard forms as adopted by AA and HR. Prior approval of the President or Chief Academic Officer (Provost) as designee is required before any faculty appointment with tenure can be recommended to the Chancellor. In addition, no person shall be appointed to the position of Dean, or equivalent, or Vice President, or equivalent, without prior consultation with the Chancellor and in accordance with Board of Regents Policy 57.10. No administrator may be given faculty status or tenure without a review and recommendation by the academic unit involved.

#### 2.3 Probationary period

The probationary period is defined as the time a faculty member spends under appointment in a tenure-track position prior to being awarded tenure. It shall not normally exceed seven years, and the conditions of the period shall be specified in the appointment letter. Prior full-time collegiate level teaching at the rank of assistant professor or above may be credited to the probationary period.

#### 3.1 Probationary Period

The probationary period for a tenure-track appointment allows UHCL to consider whether a faculty member is able to meet the teaching, scholarship, and service expectation of the job. During the probationary period, a faculty member does not have tenure. The following section outlines the initiation, duration and extension of the probationary period.

#### 3.2 Initiation of Probationary Period.

The probationary period begins at the start of the fall semester of the appointment. For a faculty member appointed for the spring semester or dates other than the fall semester, the probationary period begins in the fall semester of the following academic year unless otherwise indicated in the appointment letter.

### 3.3 Length of Probationary Period for Assistant Professors

The maximum probationary period for a faculty member appointed as an assistant professor is equivalent of six (6) years of full-time service. The length of the probationary period may be adjusted due to credit for prior full-time collegiate level teaching. If the probationary period is shortened as a condition of the appointment, it shall be articulated in the letter of appointment for the faculty member. In year five of a seven-year probationary period, the faculty member will be notified in writing that the final and mandatory review for tenure will take place in the sixth year of the probationary period. The faculty member has the responsibility to request or decline review in the sixth year of the probationary period. The faculty member's decision to become a candidate for promotion and tenure should be submitted in writing to the dean. If a faculty member declines review in the sixth year, such declination will be deemed to be a resignation effective at the end of the probationary period.

All assistant professors who are retained through their probationary period and who apply for tenure and promotion from assistant to associate professor will be reviewed in the sixth year of the probationary period. In exceptional cases, however, candidates who believe that they have achieved a truly outstanding record earlier in their career may apply for promotion and tenure in the fourth or fifth year at UH-Clear Lake. If the early review is unsuccessful, the candidate may be reviewed again during the sixth year.

### 3.4 Length of Probationary Period for Associate Professors or Professors without Tenure

A faculty member appointed without tenure at the rank of associate professor or professor shall normally serve a probationary period not to exceed four years. Candidates for tenure appointed at the rank of associate professor or professor who are serving probationary periods may expect to be considered for tenure in the third year of the four-year probationary period. In cases of perceived exceptional merit, a faculty member may choose to apply for an earlier consideration for tenure. Non-tenured associate professors and professors will be notified in writing in the second year of their probationary period about the required documentation to be submitted in the third year of their probationary period. It is the faculty members responsibility to request or decline review in the third year of the probationary period. If a faculty member declines review in the third year, such declination in writing will be deemed to be a resignation effective at the end the probationary period.

### 3.5 Length of time for Promotion to Professor

No time is specified for promotion from associate professor with tenure to professor. An associate professor with tenure seeking professorial rank must notify the dean of his or her intentions by the time specified in the published schedule.

### 3.6 Extending the probationary period.

Extensions to the probationary period may be granted upon formal written request by the faculty member with recommendation of the dean and provost, and approval by the president. Documented extensions to the probationary period are also referred to as stopping the clock.

3.6.1 Timing. Extensions are usually for one year, but a longer period may be requested in compelling circumstances. Any extension greater than one year must be recommended by the dean and provost and approved in writing by the president. The stop-the-clock period will be excluded from the probationary period and the probationary period extended accordingly.

Faculty members who intend to request an extension of the probationary period are encouraged to do so as early as the situation arises.

3.6.2 Qualifying Circumstances. Circumstances for which a faculty member may request an extension to the probationary period include, but are not limited to: the birth or adoption of a child; responsibility for managing the illness or disability of an immediate family member; parent or partner; serious persistent personal health issues; death of a parent, spouse, child, or domestic partner; military service; and significant delays in fulfillment of UHCL resources committed in the appointment letter.

Not having met teaching, scholarship, and service expectations during a previous review period does not qualify as an extenuating circumstance for extension of the probationary period.

3.6.3 This policy is separate and distinct from any terms and conditions outlined in the Faculty Development Leave policy. Nor does it affect any existing policy or policies relating to faculty leave.

#### 4.1 Reviews during Probationary Period

#### 4.2 Annual Performance Review

Every tenure-track faculty will undergo an annual performance review conducted by the department chair, appropriate administrator, or committee according to College procedures. Employment of non-tenured faculty is renewed on an annual basis and normally should involve career development during the probationary period.

#### 4.3 Third Year Review of Assistant Professors

All candidates for tenure are entitled to a third year review of their progress towards tenure and promotion. The third year review of assistant professors will be coordinated by the Dean or Academic Associate of the candidate.

Reviews will be conducted during the third year of the tenure track unless the candidate and Dean negotiate a different timeline for review. Written documentation of such an agreement shall be placed in the candidate's personnel file with a copy provided to the candidate.

##### 4.3.1 The third year review of assistant professors will include written review of:

4.3.1.1 Current strengths and weaknesses of the tenure-track faculty member in the areas of Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. Only the areas used to judge a candidate for promotion and tenure as described in section 5.0 Professional Responsibilities and Activities shall be used in the third year review of the tenure-track faculty.

4.3.1.2 Progress toward tenure and promotion.

4.3.1.3 Suggestions for strengthening the faculty member's candidacy.

4.3.1.4 Feedback regarding the format and documentation of the candidate's vita and supporting materials.

The third year review process is similar to a promotion and tenure review. Its purpose is to provide guidance to the tenure-track faculty member regarding future directions and activities. To provide the most effective and clear feedback, the dean and the chair of the peer review committee will be responsible for communicating to the individual the review's assessments and recommendations for future directions. The faculty member will receive copies of all assessments and recommendations at the time of the meeting with the dean and chair of the peer review committee.

4.3.1.5 The third year review's recommendations and findings do not imply a specific commitment to future university action in promotion and tenure.

#### 4.4 Third Year Review Procedure

4.4.1 All designated third year faculty will be informed by the dean of the guidelines of this process, the dates for submission and the composition of their vita and documentation. Participating third year faculty will be asked to submit a current vita and documentation of all relevant past activities and all publications (including those in press). The faculty member may also discuss projects and papers in progress. However, those activities in process will not be given major consideration in the review. The documentation should be organized under the three areas of Teaching and Educational Activities; Research, Scholarship or Artistic Activities; and Service. No external letters shall be solicited for this review.

4.4.2 The review committee members charged with the responsibility of assessment should not rate the faculty member according to the standards of "excellent", "very good", "satisfactory", "less than satisfactory" and "poor".

4.4.3 The vita and documentation will be reviewed by a committee of tenured faculty of the person's discipline. (Composition of the committee and its charge will reflect current promotion and tenure guidelines 7.3). The committee will submit a written report and recommendations to the next level of review, that of the academic associate. At the completion of that review, the academic associate will forward a written report and recommendations along with the peer review committee report to the dean.

4.4.4 The dean will examine the faculty member's documentation and vita, review the reports from the peer review committee and academic associate and develop recommendations. The dean, or the dean's designee, will be responsible for communicating in written and verbal form the results of the review process and the assessment of the faculty member. This assessment will include discussion of the strengths and weaknesses of the faculty member's current activities, suggested actions for strengthening the faculty member's candidacy and general comments on the format and documentation. This communication should provide feedback to guide the future directions of the tenure-track faculty member, with the understanding that the purpose of the review is to help the faculty member in his or her professional development.

The Dean or the Dean's designee and the chair of the peer review committee will meet with the candidate under review by May 31<sup>st</sup> of the third year and provide feedback and copies of all assessments. The chair of the peer review committee is responsible for scheduling the feedback meetings.

#### 5.1 Professorial Responsibilities and Activities

Faculty members will be expected to meet the highest standards of their discipline within the three traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. No other distinct criteria or standard shall be assessed independently or as part of the three areas of responsibility described in this section 5.0.

#### 5.2 Teaching and Educational Activities

5.2.1 Teaching consists of direct involvement with students inside or outside the classroom. It includes classroom instruction and seminars, supervision of independent study and graduate research, and direction of graduate theses and dissertations. All university professors are expected to incorporate new knowledge into their courses on a continuing basis.

Documented evidence of teaching expertise may include but is not limited to: student evaluations, course syllabi, letters, or solicited opinions.

5.2.2 Educational activities include, but are not limited to, the development of new curricula, new courses, new degree programs and new training programs; the writing of textbooks and educational publications; presentations about teaching at professional meetings; and technology transfer or dissemination.

#### 5.3 Research, Scholarly, or Artistic Activities

5.3.1 Research, scholarly or artistic activities are those which lead to the creation and dissemination of new knowledge; to increased problem-solving capabilities, including such activities as design and analysis; to original critical or historical theory and interpretation; or to the production of art or artistic performance.

5.3.2 Evaluation of competency in scholarly and artistic activities must include records of accomplishments (i.e. published or in press material [either proof of final acceptance, off-print, or paper copy of an electronic publication], commissions, exhibitions, inventions, awards, grants, etc.) and letters of evaluation from those knowledgeable in the candidate's area of scholarship, both inside and outside the university.

#### 5.4 Service

5.4.1 Service includes: 1) service to professional organizations and journals; 2) service to the program, college, university, and system; and 3) service to the public.

5.4.2 Service is the application and dissemination of knowledge or skill for the solution of problems and the improvement of the university, the profession, or the community. Service to the university in support of its activities is required of all UH-Clear Lake faculty members.

#### 6.1 Criteria and Standards for Promotion and Tenure

The basic criteria and standards for promotion and tenure reflect the University's commitment to academic excellence. Candidates for promotion or tenure at any level shall be judged solely in the three traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. The comparative scale shall be: "poor", "less than satisfactory", "satisfactory", "very good", and "excellent". The scale may be adjusted to include "very good with the promise of becoming excellent" for candidates for promotion to associate professor with tenure.

## 6.2 Standards for Associate Professor with Tenure

Any candidate for promotion to associate professor with tenure is expected to be "excellent" or "very good with the promise of becoming excellent" in at least one of the three areas of evaluation. The candidate must also be rated at least "very good" in a second of the three areas and "satisfactory" in the third one. In addition, each candidate must be at least "very good" in "Teaching and Educational Activities" (Section 5.1).

Any deviation from the standard expectations in 5.0 for a candidate for associate professor must be well documented in a letter, on university letterhead, that outlines the conditions and expectations and is signed by the dean of the school and the faculty member. This letter is to be placed in the candidate's school-level personnel file and may be used by the candidate in compiling their Promotion and Tenure materials.

## 6.3 Standards for Professor

6.3.1 To be promoted to professor, candidates must have state, regional, or national reputations. This reputation may be achieved in any of the three areas of professorial responsibility. Candidates must also be "excellent" in either "Teaching and Educational Activities" or "Research, Scholarly, or Artistic Activities" and at least "very good" in the other two areas (i.e. teaching and service or scholarly activity and service).

6.3.2 To be excellent in "Research, Artistic, or Scholarly Activities", candidates must have made substantial, outstanding, and continuing contributions to their professions.

6.3.3 To be excellent in Teaching, candidates must be unusually effective in all the traditional aspects of university teaching applicable to their disciplines: classroom instruction and seminars, supervision of independent study and graduate research, as well as the directing of graduate theses, dissertations, or other capstone activities.

6.3.4 Excellence in Teaching should also include distinction in educational activities (defined in 5.1.2), but it cannot rest upon educational activities alone

## 7.1 Promotion and Tenure Review Process

This section serves as a guide for the reviewing, processing and handling reappointment, tenure and promotion files. At the College level, a candidate's case must be reviewed by: (1) a peer review committee, (2) the academic associate (associate dean, faculty department chair, or program coordinator/chair) and (3) the dean. The academic associate's review is to be independent of the peer review committee and concurrent with it. The dean's review makes use of recommendations from both the peer review committee and the academic associate.

The dean or the dean's designate will notify in writing each assistant professor who is in the fifth year of a seven-year probationary period that he or she must prepare a promotion and tenure review file and be evaluated in the sixth year. Individuals who have a probationary period that differs from the standard outlined herein, shall be notified in writing by the dean or dean's designate that it is time to prepare a promotion and tenure review file in the year that corresponds with what is outlined in the letter of appointment. The candidate begins the review process by submitting a written request for review to the dean or deans designate in accordance with the published timeline. The candidate must submit all names and materials within the timeframe outlined by handbook and according to schedule published by the office of the provost.

## 7.2 Documentation of the Candidate's Case

Candidates are expected to present evidence in support of their cases for promotion and tenure. The record to be reviewed will consist of supplemental materials related only to teaching, research, and service from the candidate's personnel file (including the third year review letters and copies of all annual review evaluations). Specific requirements for what constitutes documentation may be detailed in the college bylaws. The candidate must provide a dossier for consideration of reappointment, tenure and promotion and it must contain:

7.2.1 A formal request for promotion or tenure in the university.

7.2.2 A current curriculum vita.

7.2.3 A narrative of the candidate's case for promotion and tenure. This material should be organized under the three categories of professorial responsibility: teaching, research or artistic activities, and service.

7.2.4 Supporting materials may include: teaching evaluations, published research, artistic products, etc.

7.2.5 External evaluations. The Dean or Academic Associate will provide these letters.

7.2.6 Candidates may add supporting material unavailable at earlier stages of evaluation until that date on which the promotion and tenure recommendation is forwarded to the dean. Materials may not be added or changed after this date. The candidate is responsible for the accuracy of the documentation.

### 7.3 External Reviewers

External Reviewers provide an independent assessment of the candidate's work and professional standing. This section includes the requirements, timing sequence, selection process and qualifications for external reviewers.

7.3.1 Requirements. For tenure and promotion reviews, the dossier will contain a minimum of three letters from external reviewers.

7.3.2 Qualifications. External Reviewers must hold the rank at or above the rank to which the candidate is applying for consideration. External Reviewers must have demonstrated expertise or knowledge in the area(s) of the candidate's scholarship. Generally, external reviewers must be scholars who are not current or former thesis/dissertation advisors, co-authors, former students, relatives, former collaborators, mentors, or close personal friends of the candidate.

7.3.3 Timing. The external review process will begin during the spring semester prior to the submission of the dossier for review. The candidate will provide the "external evaluation file" to be sent for outside review to the academic associate by June 1. The academic associate will mail letters and the "external evaluation file" no later than June 15 and will request outside reviewers to return their evaluations to the dean by September 15.

7.3.4 Selection Process. The Candidate will forward a list of prospective External Reviewers that includes the name, rank, discipline, and a justification for each of the nominees. The candidate and the peer review committee will agree on a list of at least three outside experts to evaluate the candidate's record in the evaluator's area of expertise.

7.3.5 The External Review. The external reviewer will be asked to make judgements about the candidate's performance relative to the performance of individuals at institutions comparable to UH- Clear Lake. The candidate will be responsible for developing an "external evaluation file" which shall include a curriculum vitae plus products showing evidence of proficiency in teaching, scholarship, and/or service. The academic associate will be responsible for mailing letters and the "external evaluation file" to the external evaluators. However, the replies will be received by the dean. The responses from external evaluators are at that time considered part of the candidate's tenure case and will be made available to the candidate, peer review committee, the academic associate, the dean, the senior vice president and provost, and the president.

7.3.6 The candidate may request and be granted access to external evaluation letters at or after the date that the letters of the peer review committee and Academic Associate are forwarded to the Dean.

### 7.4 The Peer Review Committee.

This section serves as a guide to the promotion and tenure peer review committees

7.4.1 Timing. The peer review committee will be formed in the spring semester preceding the review year.

7.4.2 Qualifications. Candidates for promotion or tenure must be reviewed by a committee of their peers. The committee will consist of those tenured faculty in the same academic program as the candidate; their rank must be equal or be higher than the rank requested by the candidate. The committee must include a minimum of five faculty members.

7.4.3 Selection Process. If more than five faculty are eligible for the committee, they will decide: (1) to act as a committee of the whole or (2) to elect from among themselves a review committee. However, any eligible member from the academic program requesting to be added to the review committee should be added.

In addition, a candidate may request that a faculty member from an appropriate related discipline and/or academic program from across the university be added to the peer review committee. This written request is to be provided to the dean for approval. The dean's decision and justification regarding peer review committee membership must be provided in writing to the candidate within 15 working days of receipt of the written request.

If fewer than five faculty from within the academic program are eligible for the peer review committee, faculty from appropriate related disciplines and/or academic programs from across the university will be added to form a five-person committee. These additional members will be selected by the dean from a list of UHCL faculty members submitted by the candidate that includes the name, rank, discipline, and a justification for each of the nominees. Prior to finalizing the five members on the committee, the dean will consult with the candidate and with the eligible individuals from the candidate's discipline. The final membership of the Peer Review Committee will be communicated in writing to all parties in the review process.

7.4.4 The Peer Review Assessment of the Candidate's File. The peer review committee elects its own chair who then calls and conducts its meetings. The committee must decide, through a thorough, judicious, and confidential review of the candidate's materials, whether the candidate has met the standards for the rank requested. To do so, the committee has access to a candidate's records, whether submitted by the candidate or in the files in the dean's office. The candidate, likewise, will have access to all materials used by the committee.

#### 7.4.1 The Peer Review Committee Report

7.4.1 The peer review committee's report should include a specific, analytical appraisal of all the significant evidence favorable and unfavorable. It should analyze the candidate's performance in each of the traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service; and it should document its judgments from the supporting material.

7.4.2 The peer review committee's recommendation must not be ambiguous. It should clearly favor or not favor the granting of promotion or tenure. Only members who agree with the report's judgement should sign the document.

7.4.3 If the committee cannot reach a clear decision, its division and the reasons for it should be expressed either in the report or in separate concurring or dissenting statements by individual members. These should be submitted with the main report, and all committee members should be aware of all concurring or dissenting statements submitted.

7.4.4 The peer review committee submits its recommendation to the dean, with copies to the candidate's academic associate and the candidate.

#### 7.5 The Academic Associate Review

The candidate's academic associate reviews the candidate's materials and makes his or her recommendation independent of, and without review of, the peer review committee's recommendation and submits it to the dean, with copies to the chair of the peer review committee and the candidate.

The chair of the peer review committee will make this recommendation available to all members of the committee.

#### 7.6 The Dean Review

The dean reviews the candidate's materials and submits his or her recommendation to the senior vice president and provost, who then submits it to the president. The peer review committee's and academic associate's recommendations accompany the dean's recommendation. The dean also sends his or her recommendation to the academic associate, the chair of the peer review committee, and the candidate. The chair of the peer review committee will make this recommendation available to all members of the committee.

#### 7.7 The Provost Review

After reviewing the candidate's materials, the recommendations of the peer review committee, the academic associate and the dean, the senior vice president and provost forwards his or her recommendation to the president, with copies to the candidate, academic associate, the chair of the peer review committee, and the dean. The chair of the peer review committee will make this recommendation available to all members of the committee.

#### 7.8 The President Review

After reviewing reviews the candidate's materials, as well as the recommendations of the peer review committee, the academic associate, the dean and the senior vice president and provost, the president forwards his or her recommendation to the chancellor, with copies to the candidate, academic associate, the chair of the peer review committee, the dean, and the provost. The chair of the peer review committee will make this recommendation available to all members of the committee.

#### 7.9 Distribution of Reviews

Copies of all recommendations completed at each level of review are to be provided to the candidate, via email and interoffice mail, concurrently as they are submitted to the next level of review and in accordance with the promotion and tenure schedule published each spring.

## 8.0 Promotion and Tenure Schedule

In the spring of each academic year, the Office of the Provost will publish and distribute to all full-time tenure track and tenured faculty, a schedule containing specific dates which shall govern the completion of the stages of the tenure and promotion evaluation process. The schedule must allow sufficient time at each step of the process for review of the documentation and formulation of recommendations.

### 9.1 Request for Reconsideration of Tenure and Promotion Decisions

9.2 The candidate for tenure and/or promotion, upon receipt of copies of recommendation letters at the level of peer review committee, Academic Associate, Dean, and Senior Vice President and Provost, is entitled to request a reconsideration of the recommendation(s). Such reconsideration shall be limited to errors of fact or procedure found in the recommendation(s).

9.3 Should a candidate wish to request reconsideration of a recommendation, she or he must send a written request for reconsideration to both the author and the addressee of the recommendation in question within five business days of receiving that recommendation.

9.4 After reconsideration, and within seven business days of receipt of request, the reviewing party will notify the candidate and all parties in receipt of the letter in question of the outcome of such party's reconsideration of the file.

9.5 Letters from a candidate requesting a reconsideration of the recommendation(s) as well as responses from the reviewing party/committee shall be included in the candidate's file as it continues through the promotion and tenure process and should be considered at all subsequent levels of review.

9.6 If factual and/or procedural errors are not corrected, it is the candidates right to request reconsideration at the next level(s) of review, should the candidate so desire.

9.7 Recommendations for tenure and promotion will be transmitted from the president to the chancellor, with a copy to the candidate, academic associate, the chair of the peer review committee, the dean and the provost.

9.8 A positive recommendation will be reviewed at the System level. The UH Board of Regents will take final actions to award tenure or promotion.

### 10.0 Reapplication for Professor

If a candidate is denied the rank of Full Professor after review for promotion, he or she may reapply for consideration in subsequent years. It is advised that the candidate review his or her letters of recommendation, from internal and external evaluators, provided throughout the promotion review process in order that he or she may address the areas of concern.

Upon reapplication, the candidate must provide a letter indicating the changes, including new and/or additional accomplishments or materials, that are in the promotion file at the time of submission and which justify the candidate's reapplication. This letter becomes part of the candidates file and should be reviewed with all other submitted materials.

### 11.0 Promotion and Tenure Appeals

The candidate may appeal a negative recommendation by the senior vice president and provost. Any appeal of the senior vice president and provost's recommendation must be heard, and a recommendation by the grievance committee forwarded to the president by a date specified to the committee by the president. For a grievance matter, see Handbook Grievance Procedures (11.2).

In the event of a decision not to renew an appointment, the faculty member should be informed of the decision in writing, and, upon request, be advised of the reasons which contributed to that decision. The faculty member should also have the opportunity to request a reconsideration by the body or individual that made the decision.